

PATENT



6

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of : Initial Patent Examination
: Division
Jean-Louis Blanchard et al. : Box Missing Parts
:
: Docket No.: FR919990071US1
Serial No.: 09/863,920 : Confirmation No. 1618
:
Filed: May 23, 2001 : Date: September 24, 2001

For: SYSTEM AND METHOD FOR STOCK OPTIONS MARKET MANAGEMENT

**FILING OF MISSING PARTS OF APPLICATION UNDER 37 CFR 1.63(f)
FILING DECLARATION AND POWER OF ATTORNEY
FILING ASSIGNMENT**

To: Commissioner for Patents
Initial Patent Examination Division
Washington, D.C. 20231

Sir:

On May 23, 2001, the above-identified application was filed with the U.S. Patent and Trademark Office, under Rule 1.53(b) Missing Parts.

Enclosed at this time is an original declaration, which includes the signatures of the four inventors. This copy has been altered only to indicate the serial number and filing date of the subject application.

Also attached for filing is the original fully executed Assignment for the above-identified application with the required Recordation Form Cover Sheet.

The fee of \$170.00 representing both the Surcharge of \$130.00 and Assignment fee of \$40.00 is to be charged to Deposit Account No.: 09-0468. A duplicate copy of this paper is attached.

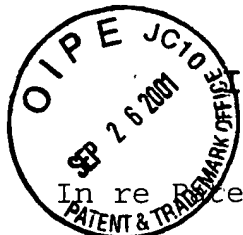
A copy of the "Notice to File Missing Parts of Application-Filing Date Granted", date mailed July 25, 2001, is also attached as per your instructions.

Respectfully submitted,
Attorney for the Applicants

by Gail H. Zarick
Attorney: Gail H. Zarick
Reg. No. 43,303
Tel. (914) 945-3147

IBM Thomas J. Watson Research Center
Intellectual Property Law Department
P.O. Box 218
Yorktown Heights, N.Y. 10598

Attorney Docket: FR919990071US1



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

sector #

In re Patent Application of : Initial Patent Examination
: Division
Jean-Louis Blanchard et al. : Box Missing Parts
: Docket No.: FR919990071US1
Serial No.: 09/863,920 : Confirmation No. 1618
: Date: September 24, 2001
Filed: May 23, 2001

For: SYSTEM AND METHOD FOR STOCK OPTIONS MARKET MANAGEMENT

To: Commissioner for Patents
Initial Patent Examination Division
Washington, D.C. 20231

CERTIFICATE OF MAILING UNDER 37 CFR 1.8(a)

I hereby certify that the attached correspondence comprising:

1. Acknowledgment Post Card;
2. Filing of Missing Parts of Application Under 37 CFR 1.63(f)
(in duplicate);
3. Declaration and Power of Attorney Form;
4. Notice to File Missing Parts of Application (return copy); and
5. Assignment to IBM with attached Recordation Form

is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

Commissioner for Patents
Initial Patent Examination Division
Washington, DC 20231

on September 24, 2001

Michelle Parra
(Print name of person certifying)

Michelle Parra
(Signature of person certifying)



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/863,920	05/23/2001	Jean-Louis Blanchard	FR919990071US1

CONFIRMATION NO. 1618

FORMALITIES LETTER



OC000000006338788

IBM CORPORATION
INTELLECTUAL PROPERTY LAW DEPT.
P.O. BOX 218
YORKTOWN HEIGHTS, NY 10598

Date Mailed: 07/25/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

A copy of this notice MUST be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09/28/2001 NBERHE 00000015 090468 09863920
01 FC:105 130.00 CH